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FORM PTO-1390 (REV 10-97) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A FILING UNDER 35 U.S.C. 371

DATE: November 5, 1999

EXPRESS MAIL LABEL NO. EL368757437US

ATTORNEY DOCKET NO. 36368/DRK

U.S. APPLICATION NO. 09 /4 2340 1

| INTERNATIONAL APPLICATION NO. | | INTERNATIONAL FILING DATE | PRIORITY DATE CLAIMED November 6, 1998 | | | | | | |
|---|---|--|---|--|--|--|--|--|--|
| TITLE OF INVENTION METHOD OF SELECTIVE POST-GROWTH TUNING OF AN OPTICAL BANDGAP OF A SEMI-CONDUCTOR HETEROSTRUCTURE AND PRODUCTS PRODUCED THEREOF | | | | | | | | | |
| APPLICANT(S) FOR DO/EO/US LI, Gang and CHUA, Soo Jin | | | | | | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | | | | | |
| 1. K 2 | This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. This is an express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1). A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date. | | | | | | | | |
| 5. ☑6. □ | A copy of the International Application as filed (35 U.S.C. 371(c)(2)). a. is transmitted herewith (required only if not transmitted by the International Bureau). b. has been transmitted by the International Bureau. c. is not required, as the application was filed in the United States Receiving Office (RO/LUS). A translation of the International Application into English (35 U.S.C. 371(c)(2)). | | | | | | | | |
| 7. 🗆 | Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)). a. are transmitted herewith (required only if not transmitted by the International Bureau). b. have been transmitted by the International Bureau. c. have not been made; however, the time limit for making such amendments has NOT expired. d. have not been made and will not be made. | | | | | | | | |
| 8. 🗆 | A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). | | | | | | | | |
| 9. 🛣 | An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). UNEXECUTED | | | | | | | | |
| 10. 🗆 | A translation of the annexes to the Int | ternational Preliminary Examination Report (| under PCT Article 36 (35 U.S.C. 371(c)(5)). | | | | | | |
| Items below concern other document(s) or other information included: 11. An Information Disclosure Statement under 37 CFR 1.97 and 1.98. | | | | | | | | | |
| _ | An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. | | | | | | | | |
| 13. 🗆 | A FIRST preliminary amendment. A SECOND or SUBSEQUENT preliminary amendment. | | | | | | | | |
| 14. 🗆 | A substitute specification. | | | | | | | | |
| 15. 🗆 | A change of power of attorney and/or address letter. | | | | | | | | |
| لـا .16 | Small entity claim with a copy of this transmittal letter attached. | | | | | | | | |
| 1 <i>7.</i> 🗆 | International search report. | | | | | | | | |
| 18. 🗆 | International preliminary examination report. | | | | | | | | |
| 19. 🔀 | Formal Drawings (14 sheets) | | | | | | | | |
| 20. 🐴 | Copy of Singapore Application No. 9804027-2 filed November 6, 1998 | | | | | | | | |
| 21. 🗆 | | | | | | | | | |

| 1 | APPLICATION NO. (If known, see 37 CFR 1.5) INTERNATIONAL APPLICATION NO. | | | ATTORNEY DOG 36368/DRK | ATTORNEY DOCKET NO. 36368/DRK | | | | |
|---|--|------------------------|--|---------------------------|-------------------------------|--|--|--|--|
| 国 f 09 / | /42340] | CALCULATIONS | PTO USE ONLY | | | | | | |
| Basic National F | ee (37 CFR 1.492(a)(1 | | | | | | | | |
| Search Report ha | as been prepared by t | | | | | | | | |
| International pre | liminary examination f | | | | | | | | |
| No international but international | preliminary examination search fee paid to US | | | | | | | | |
| Neither international sea | onal preliminary exam rch fee (37 CFR 1.445 | | | | | | | | |
| International pre and all claims sat | liminary examination f tisfied provisions of PC | | | | | | | | |
| | ENTE | \$ 760 | | | | | | | |
| | or furnishing the oath rliest claimed priority o | \$ | | | | | | | |
| Claims | Number Filed | Number Extra | Rate | | | | | | |
| Total Claims | 28 -20= | 8 | X \$18 | \$ 144 | | | | | |
| Independent Claims | 4 -3= | 1 | X \$78 | \$ 78 | | | | | |
| | claim(s) (if applicable) | + \$260 | \$ | | | | | | |
| | | TOTAL OF ABO | OVE CALCULATIONS = | \$ 222 | | | | | |
| | or filing by small entity, 37 CFR 1.9, 1.27, 1.28 | \$ | | | | | | | |
| | | \$ 222 | <u>† </u> | | | | | | |
| | 30 for furnishing the fi | \$ | | | | | | | |
| months from the ear | nest claimed priority c | \$ | | | | | | | |
| | e enclosed assignmen appropriate cover she | \$ | | | | | | | |
| , | | \$ 982 | | | | | | | |
| | c national fee must be it (37 CFR § 1.494) ar | Amount to be refunded | | | | | | | |
| extendal | | charge | | | | | | | |
| · | · | · · · · · · | | 1 | 1 | | | | |
| a. 🗴 A check in the amount of \$_982 to cover the above fees is enclosed. | | | | | | | | | |
| b. Please charge my Deposit Account No in the amount of \$ to cover the above fees. A duplicate copy of this sheet is enclosed. | | | | | | | | | |
| c. \(\bigsize \) The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment | | | | | | | | | |
| to Deposit Account No. 03-1728. A duplicate copy of this sheet is enclosed. | | | | | | | | | |
| NOTE (2): Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | | | | | | | | | |
| SEND ALL CORRESPONDENCE TO: | | | | | | | | | |
| Daniel R. Kimbell | | | | | | | | | |
| | i k. kimbeli STIE, PARKER & HA | () , ` , | | | | | | | |
| P.O. B | Xtrue A | Kurbel | | | | | | | |
| Pasade | ena, CA 91109-706 | R . Kimbell | | | | | | | |
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November 26, 2002

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2 6 NOV 2002

Legal oldfi International Division

From:

Daniel R. Kimbell

Reg. No. 34;849

Re:

Application No. 09/423,401; Filed November 5, 1999

Entitled METHOD OF SELECTIVE POST-GROWTH TUNING OF AN OPTICAL BANDGAP OF A SEMI-CONDUCTOR HETEROSTRUCTURE

AND PRODUCTS PRODUCED THEREOF

File:

36368/DRK/L359

I HEREBY CERTIFY THAT THIS PAPER IS BEING FACSIMILE TRANSMITTED TO THE

PATERT AND TRADEMARK OFFICE ON November 26, 2002.

Elizabeth A. Jue

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JUL 3 1 2000

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In re Application of

LI et al

Application No.: 09/423,401

PCT No.:

International Filing Date:

Priority Date Claimed: 06 November 1998 Attorney Docket Number: 36368/DRK

For: METHOD OR SELECTIVE POST-GROWTH TUNING OF AN OPTICAL BANDGAP OF A SEMI-CONDUCTOR HETEROSTRUCTURE AND PRODUCTS PRODUCED THEREFORE

Communication

A review of for the above-captioned application reveals that applicants have not provided the international application number (PCT number), or the international filing date with the transmittal letter and other documents submitted 05 November 1999.

Applicants must provide this information within ONE (1) MONTH from the mail date of this notification. Failure to respond will result in the abandonment of this application.

Rafael Bacares
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PCT Legal Office

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Boris Milef

Legal Examiner

PCT Legal Office